

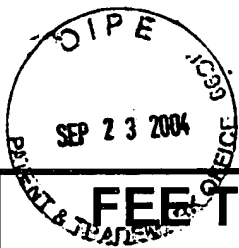


4/0004/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		Application Number <b>09/976,477</b>
<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence during pendency of          filed application)</i>		Filing Date <b>October 12, 2001</b>		
		First Named Inventor <b>Jeffrey C. Hawkins</b>		
		Group Art Unit Number <b>2173</b>		
		Examiner Name <b>Ting Zhou</b>		
		Total Number of Pages in This Submission <b>7*</b>		
		Attorney Docket Number <b>21495-05941</b>		

<b>ENCLOSURES</b>		<b>(check all that apply)</b>
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal	
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson	
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]	
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)	
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group	
<input checked="" type="checkbox"/> Information Disclosure Statement & PTO/SB/08A <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/>	
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/>	
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/>	
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>	
<input type="checkbox"/> Status Request	<input type="checkbox"/>	
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>	
REMARKS: *Page count does not include cited references.		

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Amir H. Raubvogel, Reg. No. 37,070	Dated:	SEP 20/24

<b>CERTIFICATE OF MAILING</b>			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:		Amir H. Raubvogel	Dated: Sep 20/04
Express Mail Mailing Number (optional):			



# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 180.00

## Complete if Known

Application Number	09/976,477
Filing Date	October 12, 2001
First Named Inventor	Jeffrey C. Hawkins
Examiner Name	Ting Zhou
Art Unit	2173
Attorney Docket No.	21495-05941

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account:

Deposit Account Number 19-2555

Deposit Account Name Fenwick & West LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge all required fee(s) or any underpayment of fee(s) due under 37 CFR §1.16 or §1.17 during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

**SUBTOTAL (1)** (\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65
1052	50	2052	25
1053	130	1053	130
1812	2,520	1812	2,520
1804	920*	1804	920*
1805	1,840*	1805	1,840*
1251	110	2251	55
1252	420	2252	210
1253	950	2253	475
1254	1,480	2254	740
1255	2,010	2255	1,005
1401	330	2401	165
1402	330	2402	165
1403	290	2403	145
1451	1,510	1451	1,510
1452	110	2452	55
1453	1,330	2453	665
1501	1,330	2501	665
1502	480	2502	240
1503	640	2503	320
1460	130	1460	130
1807	50	1807	50
1806	180	1806	180
8021	40	8021	40
1809	770	2809	385
1810	770	2810	385
1801	770	2801	385
1802	900	1802	900

Fee Description

Fee Paid

Surcharge - late filing fee or oath  
Surcharge - late provisional filing fee or cover sheet  
Non-English specification  
For filing a request for *ex parte* reexamination  
Requesting publication of SIR prior to Examiner action  
Requesting publication of SIR after Examiner action  
Extension for reply within first month  
Extension for reply within second month  
Extension for reply within third month  
Extension for reply within fourth month  
Extension for reply within fifth month  
Notice of Appeal  
Filing a brief in support of an appeal  
Request for oral hearing  
Petition to institute a public use proceeding  
Petition to revive - unavoidable  
Petition to revive - unintentional  
Utility issue fee (or reissue)  
Design issue fee  
Plant issue fee  
Petitions to the Commissioner  
Processing fee under 37 CFR 1.17(g)  
Submission of Information Disclosure Stmt  
Recording each patent assignment per property (times number of properties)  
Filing a submission after final rejection (37 CFR 1.129(a))  
For each additional invention to be examined (37 CFR 1.129(b))  
Request for Continued Examination (RCE)  
Request for expedited examination of a design application

Other fee (specify)

**SUBTOTAL (3)** (\$)

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type) Amir H. Raubvogel

Registration No. (Attorney/Agent)

37,070

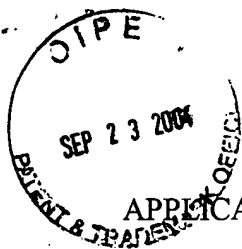
## Complete (if applicable)

Telephone (650) 335-7276

Signature

Date

SEP 20/04



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Jeffrey C. Hawkins, Thomas B. Bridgwater, Robert Y. Haitani,  
Srikiran Prasad and William B. Rees

APPLICATION NO.: 09/976,477

FILING DATE: October 12, 2001

TITLE: Multi-Context Iterative Directory Filter

EXAMINER: Ting Zhou

GROUP ART UNIT: 2173

ATTY. DKT. NO.: 21495-05941

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Dated: SEP 20/04

By: [Signature]

Amir H. Raubvogel, Reg. No.: 37,070

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☐ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

**PATENT**

- ☒ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
- ☒ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
- ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
- ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated

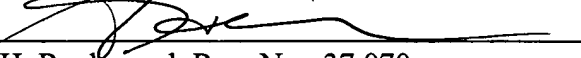
under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

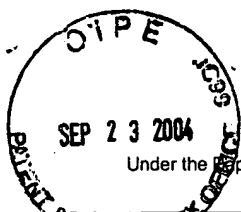
- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. \_\_\_\_\_, filed on \_\_\_\_\_, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ This application was filed after June 30, 2003. Therefore, pursuant to the waiver of the requirements under 37 CFR 1.98(a)(2)(i), copies of each U.S. Patent and each U.S. Patent Application Publication are not required to be submitted. Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
JEFFREY C. HAWKINS ET AL.

Dated: SEP 20/04

By:   
Amir H. Raubvogel, Reg. No.: 37,070  
Fenwick & West LLP  
Silicon Valley Center  
801 California Street  
Mountain View, CA 94041  
Tel.: (650) 335-7276  
Fax.: (650) 938-5200



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application No.	09/976,477
				Filing Date	October 12, 2001
				First Named Inventor	Jeffrey C. Hawkins
				Art Unit	2173
				Examiner Name	Ting Zhou
Sheet	1	of	2	Attorney Docket Number	21495-05941

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		US-6,725,060 B1	04-20-2004	Chhatriwala et al.
		US-6,662,244 B1	12-09-2003	Takahashi
		US-6,611,697 B1	08-26-2003	Ewing et al.
		US-2003/0123627 A1	07-03-2003	Pinard et al.
		US-6,477,482 B1	11-05-2002	Maupin et al.
		US-2002/0086702 A1	07-04-2002	Lai et al.
		US-6,397,078 B1	05-28-2002	Kim
		US-6,330,618 B1	12-11-2001	Hawkins et al.
		US-2001/0027121 A1	10-04-2001	Boesen
		US-6,006,274	12-21-1999	Hawkins et al.
		US-6,000,000	12-07-1999	Hawkins et al.
		US-5,983,073	11-09-1999	Ditzik
		US-5,884,323	03-16-1999	Hawkins et al.
		US-5,797,089	08-18-1998	Nguyen

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>6</sup>
		User's Guide, hp iPAQ Pocket PC h4000 Series, Document Part Number: 343434-001, August 2003, 141 pages			

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

<b>Application No.</b>	09/976,477
<b>Filing Date</b>	October 12, 2001
<b>First Named Inventor</b>	Jeffrey C. Hawkins
<b>Art Unit</b>	2173
<b>Examiner Name</b>	Ting Zhou
<b>Attorney Docket Number</b>	21495-05941

Sheet	2	of	2
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[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.  
Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

21495/05941/DOCS/1461524.1  
08/26/04